

Docket No.
0094.048

Declaration and Power of Attorney For Patent Application

English Language Declaration

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name,

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled

FLASH CVD PROCESS FOR SYNTHESIS OF CARBON NANOTREES

the specification of which

(check one)

☐ is attached hereto.

☒ was filed on March 16, 2001 as United States Application No. or PCT International Application Number 09/809,833 and was amended on _____

(if applicable)

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, Code of Federal Regulations, Section 1.56.

I hereby claim foreign priority benefits under Title 35, United States Code, Section 119(a)-(d) or Section 365(b) of any foreign application(s) for patent or inventor's certificate, or Section 365(a) of any PCT International application which designated at least one country other than the United States, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate or PCT International application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

Priority Not Claimed

(Number)

(Country)

(Day/Month/Year Filed)

☐

(Number)

(Country)

(Day/Month/Year Filed)

☐

(Number)

(Country)

(Day/Month/Year Filed)

☐

I hereby claim the benefit under 35 U.S.C. Section 119(e) of any United States provisional application(s) listed below:

_____ (Application Serial No.)	_____ (Filing Date)
_____ (Application Serial No.)	_____ (Filing Date)
_____ (Application Serial No.)	_____ (Filing Date)

I hereby claim the benefit under 35 U. S. C. Section 120 of any United States application(s), or Section 365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT International application in the manner provided by the first paragraph of 35 U.S.C. Section 112, I acknowledge the duty to disclose to the United States Patent and Trademark Office all information known to me to be material to patentability as defined in Title 37, C. F. R., Section 1.56 which became available between the filing date of the prior application and the national or PCT International filing date of this application:

_____ (Application Serial No.)	_____ (Filing Date)	_____ (Status) (patented, pending, abandoned)
_____ (Application Serial No.)	_____ (Filing Date)	_____ (Status) (patented, pending, abandoned)
_____ (Application Serial No.)	_____ (Filing Date)	_____ (Status) (patented, pending, abandoned)

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

POWER OF ATTORNEY: As a named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith. *(list name and registration number)*

Robert E. Heslin, Registration No. 24,778

Jeff Rothenberg, Registration No. 26,429

Kevin P. Radigan, Registration No. 31,789

Susan E. Farley, Registration No. 31,833

Nicholas Mesiti, Registration No. 32,782

Philip E. Hansen, Registration No. 32,700

Blanche E. Schiller, Registration No. 35,670

Wayne F. Reinke, Registration No. 36,650

Martha Boden, Registration No. 39,115

Candice J. Clement, Registration No. 39,946

Mary Louise Gioeni, Registration No. 41,779


Kathy S. Dias, Registration No. 41,707


Victor A. Cardona, Registration No. 44,589

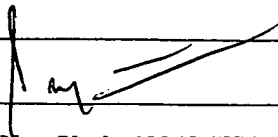
John Pietrangelo, Registration No. 39,331

Send Correspondence to: Mary Louise Gioeni, Esq.
HESLIN & ROTHENBERG, P.C.
 5 Columbia Circle
 Albany, New York 12203

Direct Telephone Calls to: *(name and telephone number)*
MARY LOUISE GIOENI, ESQ., (518) 452-5600

Full name of sole or first inventor Richard W. Siegel
Sole or first inventor's signature  Date 5/2/01
Residence 7 Myton Lane, Menands, New York 12204 USA
Citizenship US
Post Office Address 7 Myton Lane, Menands, New York 12204 USA

Full name of second inventor, if any John M. Nugent
Second inventor's signature  Date 5/2/01
Residence 841 Dean Street, Schenectady, New York 12309 USA
Citizenship US
Post Office Address 841 Dean Street, Schenectady, New York 12309 USA

Full name of third inventor, if any Pulickel M. Ajayan	
Third inventor's signature 	Date 05/02/01
Residence 109 Old Coach Road, Clifton Park, New York 12065 USA	
Citizenship INDIA	
Post Office Address 109 Old Coach Road, Clifton Park, New York 12065 USA	

Full name of fourth inventor, if any	
Fourth inventor's signature	Date
Residence	
Citizenship	
Post Office Address	

Full name of fifth inventor, if any	
Fifth inventor's signature	Date
Residence	
Citizenship	
Post Office Address	

Full name of sixth inventor, if any	
Sixth inventor's signature	Date
Residence	
Citizenship	
Post Office Address	



CCW
UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

AUGUST 23, 2001

PTAS

HESLIN & ROTHENBERG, P.C.
MARY LOUISE GIONEI, ESQ.
5 COLUMBIA CIRCLE
ALBANY, NY 12203



101750188A

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 06/11/2001

REEL/FRAME: 011884/0870
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:
SIEGEL, RICHARD W.

DOC DATE: 05/02/2001

ASSIGNOR:
AJAYAN, PULICKEL M.

DOC DATE: 05/02/2001

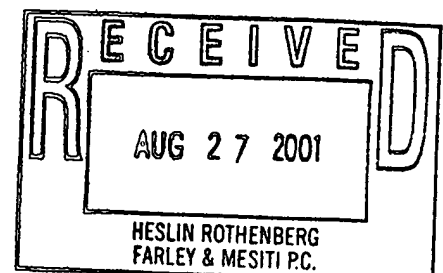
ASSIGNOR:
NUGENT, JOHN

DOC DATE: 05/02/2001

ASSIGNEE:
RËNSSELAER POLYTECHNIC INSTITUTE
110 8TH STREET
TROY, NEW YORK 12180

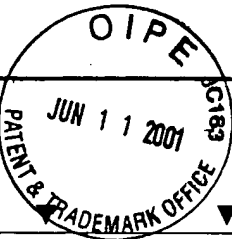
SERIAL NUMBER: 09809883
PATENT NUMBER:

FILING DATE: 03/16/2001
ISSUE DATE:



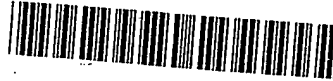
011884/0870 PAGE 2

ANTIONE ROYALL, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS



RECC

06-15-2001



101750188

Pat No.: 0094.048

U.S. DEPARTMENT OF COMMERCE
Patent and Trademark Office

Tab. settings → → →

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

Richard W. Siegel
Pulickel M. Ajayan
John Nugent

Additional names(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

6-11-01

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other

Execution Date: RWS-5/2/01;PMA-5/2/01;JN-5/2/01

2. Name and address of receiving party(ies):

Name: RENSELAER POLYTECHNIC INSTITUTE

Address: 110 8th Street

City: Troy State/Prov.: New York

Country: USA ZIP: 12180

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or registration numbers(s):

If this document is being filed together with a new application, the execution date of the application is: _____

Patent Application No. Filing date

09/809,883

03/16/2001

06/13/2001 SMINASS1 00000007 09809883

02 FC:581

40.00 OP

B. Patent No.(s)

Additional numbers attached? ☐ Yes ☒ No

40E

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: MARY LOUISE GIOENI, ESQ.

Registration No. 41,779

Address: HESLIN & ROTHENBERG, P.C.

5 COLUMBIA CIRCLE

City: ALBANY State/Prov.: NY

Country: USA ZIP: 12203

6. Total number of applications and patents involved: 1

7. Total fee (37 CFR 3.41):.....\$ 40.00

☒ Enclosed - Any excess or insufficiency should be credited or debited to deposit account

☐ Authorized to be charged to deposit account

8. Deposit account number:

08-1935

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9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

MARY LOUISE GIOENI

Name of Person Signing

Mary Louise Gioeni

Signature

JUNE, 2001

Date

Total number of pages including cover sheet, attachments, and document:

3

ASSIGNMENT

WHEREAS, We,

RICHARD W. SIEGEL, a citizen of the United States, residing at 7 Myton Lane, Menands, New York 12204; and

PULICKEL M. AJAYAN, a citizen of India, residing at 109 Old Coach Road, Clifton Park, New York 12065; and

JOHN NUGENT, a citizen of the United States, residing at 841 Dean Street, Schenectady, New York 12309;

respectively, have invented certain new and useful improvements in

FLASH CVD PROCESS FOR SYNTHESIS OF CARBON NANOTREES

for which we have executed an application for Letters Patent of the United States, of even date herewith ; and

WHEREAS, Rensselaer Polytechnic Institute having offices at 110 8th Street, Troy, New York 12180, is desirous of obtaining the entire right, title and interest in, to and under the said improvements and the said application;

NOW, THEREFORE, in consideration of good and valuable consideration, the receipt of which is hereby acknowledged, We the said **Richard W. Siegel, Pulickel M. Ajayan, and John Nugent**, have sold, assigned, transferred and set over, and by these presents do hereby sell, assign, transfer and set over, unto the said **Rensselaer Polytechnic Institute**, its successors, legal representatives and assigns, the entire right, title and interest in, to and under the said improvements, and the said application and all divisions, renewals and continuations thereof, and all Letters Patent which may be granted thereon and all reissues and extensions thereof, and all applications for Letters Patent which may hereafter be filed for said improvements in any country or countries foreign to the United States, and all Letters Patent which may be granted for said improvements in any country or countries foreign to the United States and all extensions, renewals and reissues thereof; and We hereby authorize and request the Commissioner of Patents of the United States, and any Official of any country or countries foreign to the United States, whose duty it is to issue patents on applications as aforesaid, to issue all Letters Patent for said improvements to the said **Rensselaer Polytechnic Institute**, its successors, legal representatives and assigns, in accordance with the terms of this instrument.

AND WE HEREBY covenant that We have full right to convey the entire interest herein assigned, and that We have not executed, and will not execute, any agreement in conflict herewith.

AND WE HEREBY further covenant and agree that We will communicate to the said **Rensselaer Polytechnic Institute**, its successors, legal representatives and assigns, any facts known to us respecting said improvements, and testify in any legal proceeding, sign all lawful papers, execute all divisional, continuing and reissue applications, make all rightful oaths and generally do everything possible to aid the said **Rensselaer Polytechnic Institute**, its successors, legal representatives and assigns, to obtain and enforce proper patent protection for said improvements in all countries.

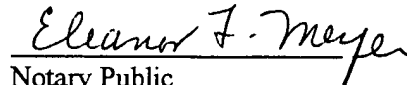
IN TESTIMONY WHEREOF, I hereunto set my hand and seal this
2 day of 5, 2001.


RICHARD W. SIEGEL

STATE OF NEW YORK)
) ss.:
COUNTY OF RENSSELAER)

On this 2nd day of May, 2001, before me personally came Richard W. Siegel, to me known and known to me to be the person of that name, who signed and sealed the foregoing instrument, and he acknowledged the same to be his free act and deed.

ELEANOR F. MEYER
Notary Public, State of New York
Residing in Albany County
Commission Expires Mar. 30, 192003
4609048


Notary Public

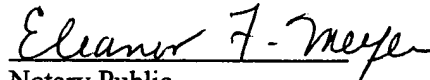
IN TESTIMONY WHEREOF, I hereunto set my hand and seal this
02 day of 05, 2001.


PULICKEL M. AJAYAN

STATE OF NEW YORK)
) ss.:
COUNTY OF RENSSELAER)

On this 2nd day of May, 2001, before me personally came Pulickel M. Ajayan, known and known to me to be the person of that name, who signed and sealed the foregoing instrument, and he acknowledged the same to be his free act and deed.

ELEANOR F. MEYER
Notary Public, State of New York
Residing in Albany County
Commission Expires Mar. 30, 192003
4609048


Notary Public

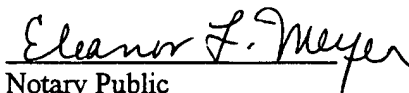
IN TESTIMONY WHEREOF, I hereunto set my hand and seal this
2 day of 5, 2001.


JOHN NUGENT

STATE OF NEW YORK)
) ss.:
COUNTY OF RENSSELAER)

On this 2nd day of May, 2001, before me personally came John Nugent, to me known and known to me to be the person of that name, who signed and sealed the foregoing instrument, and he acknowledged the same to be his free act and deed.

ELEANOR F. MEYER
Notary Public, State of New York
Residing in Albany County
Commission Expires Mar. 30, 192003
4609048


Notary Public